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The attached documents are exact copies of the European patent application described on the following page, as originally filed.

Les documents fixés à cette attestation sont conformes à la version initialement déposée de la demande de brevet européen spécifiée à la page suivante.

Patentanmeldung Nr. Patent application No. Demande de brevet n°

02078982.2

Der Präsident des Europäischen Patentamts;
Im Auftrag

For the President of the European Patent Office

Le Président de l'Office européen des brevets
p.o.

R C van Dijk

DEN HAAG, DEN
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Blatt 2 der Bescheinigung
Sheet 2 of the certificate
Page 2 de l'attestation

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Electro-optic devices, including modulators and switches

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Electro-optic Devices, including Modulators and Switches

This invention relates to electro-optical devices, primarily for use in optical communications, that are capable of modulating the amplitude or phase of an optical output in response to an electrical data or control signal, or of switching it (for example, switching at a high speed, as in the context of a time-division demultiplexer).

"External" modulators reliant on the electro-optical effect, typically in lithium niobate, some semiconductors (e.g. GaAs and InP), "poled" polymers or "poled" glasses, are used to modulate light obtained from a laser. In this way, efficient data encoding can be achieved, even at high speeds. In principle, an electric field, typically with a frequency in the microwave region, is applied to the electro-active material and has the effect of changing its refractive index, whereby the speed at which light passes through it is changed and a phase change consequently induced in the light; usually, but not necessarily, this phase change is converted into a change in amplitude by an interferometric technique. A complication to this simple principle arises because a substantial optical path length is needed to achieve sufficient modulation depth, and the phase velocities of optical and microwave signals in electro-active materials are substantially different: for example, in lithium niobate, which is the most frequently used electro-active material, the ratio of the two velocities is around 2:1. The result of this is that "walk-off" would occur between the electric and optical signals within the active zone of the device, that is they would move progressively out of phase if suitable measures were not taken. The direction of modulation would reverse as they moved into antiphase and insufficient or even no resultant modulation would be obtained. Since the higher the microwave frequency, the greater the degree of mismatch, phase velocity mismatch leads to severe bandwidth limitations.

Adequate phase velocity matching can be achieved by

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appropriate design of the transverse geometry of the modulator, for example by the use of thick electrodes and/or of buffer layers to provide for partial propagation of the microwave mode in a medium of low dielectric constant.

5 Other techniques that are used to obtain phase matching are first the use of electrodes designed to delay the electrical signal in the waveguide by half a wavelength at the places where phase reversal would otherwise occur, and second the use of a body of electro-optical material that is
10 periodically "poled" such that the direction of its electro-optic effect is reversed at those points. These techniques are primarily suitable for modulators for high-frequency narrow-band operation; they can be extended to low-frequency pass-band or large-bandwidth applications, for example by
15 using structures with multiple periodicities or aperiodic structures, but always at the expense of significantly reduced modulation efficiency.

Another complicating factor is that microwave losses within the device are substantial and frequency-dependent
20 (losses vary approximately in proportion to the square root of the frequency), and the combined result of these effects is that an increase in the length of the active region, which is desirable to reduce the voltage needed to obtain a phase difference of half a wavelength (or π) between the "on" and
25 "off" conditions (sometimes hereinafter called the "switching voltage"), results in a substantial loss of bandwidth through the degradation of high-frequency signals.

The inventors have recognised that the downstream end of such devices is largely ineffective at high frequencies,
30 because the microwave losses in the device have already severely attenuated the electrical signal, and the invention exploits this realisation to provide an active device in which the overall electro-optical response is less sensitive to frequency, and in which a better combination of switching
35 voltage and bandwidth can be obtained.

In accordance with the invention, an electro-optical

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device capable of modulating the amplitude or phase of an optical output in response to an electrical data or control signal, or of switching it, comprising a body of electro-optically active material, waveguides for passing light
 5 through the body, and electrodes for applying an electric field with a frequency in the microwave region to the body, the transverse geometry of the device being such as to maintain adequate phase velocity matching between optical and microwave frequencies, is characterised by a discontinuity in
 10 either the body or at least one of the electrodes such that the direction of the electro-optic effect is reversed for a portion of the length of the device at or near its downstream end.

The result of such a discontinuity (in combination with
 15 phase velocity matching) is that the device operates in three successive zones along the modulator length: in the upstream zone, desirable phase change is induced for all frequencies in the bandwidth of the device; in the middle zone, desirable phase change is induced for frequencies in the upper part of
 20 the bandwidth, but phase change in the lower frequencies becomes excessive; while in the downstream zone, there is no significant phase change in the higher frequencies but the excess change at lower frequencies is reversed.

In the ideal case in which phase-velocity matching is
 25 exact throughout the device, the optimum distance from the upstream end of the device to the discontinuity, a , can be determined by solving the equation

$$\frac{1}{2}\sqrt{2}(2a-L) = (1/d)(1 - 2e^{-da} + e^{-dL})$$

where L is the total optical length of the device in m
 30 (assumed to be large enough for microwave losses to be substantial - the invention is not applicable if losses are negligible); and d is the microwave loss at the upper limit of the intended microwave bandwidth of the device (at which the optical output is 3dB below its maximum), expressed
 35 in m^{-1} .

In practice, the phase-velocity matching may be imperfect and some optimisation of a by experimentation may be desirable.

In a first form of the invention, the electro-optic material is uniform apart from a single discontinuity as
5 described at which its crystal structure or poling is reversed, and phase velocity matching is achieved by using a conventional electrode design, as in a uniform body of the electro-optic material.

In a second form of the invention, the electro-optic
10 material is entirely uniform and the discontinuity is imposed solely by a discontinuity in the design of the electrodes.

The first form is thought to have the following advantages, and is at the present time preferred:

- 15 • the sign of the electro-optical effect changes more rapidly across the discontinuity region and there is no effect due to fringe field as may be associated with discontinuity of electrodes;
- since the electrode structure is uniform along the modulator length, a risk of loss or reflection for the
20 microwave is avoided (an effect that is greatest at higher frequencies); and
- simpler electrode geometry makes it easier to calculate losses accurately and so facilitates design.

The first form of the invention is applicable to any
25 electro-optically active material capable of supporting the required discontinuity but the second form may be limited to particular materials for which appropriate discontinuous electrode structures can be devised; for example, the discontinuous electrode structure to be described below is
30 appropriate for use with z-cut lithium niobate, and can also be applied to other materials, e.g. semiconductors, poled polymers and poled glasses, but not to x-cut lithium niobate.

The second form of the invention, with an appropriate discontinuous electrode structure, is preferred for materials
35 where poling (i.e. electro-optic coefficient reversal) is difficult or where it is not compatible with other

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fabrication processes, e.g. waveguide or electrode fabrication.

More complex forms of the invention, in particular forms in which simultaneous discontinuities are provided in both the electrode and the electro-optic material, are possible; but it is not at present thought that they have any advantage sufficient to justify their complexity.

The invention will be further described, by way of example, with reference to the accompanying drawings in which:

Figures 1 and 2 show the top view and the cross-section, respectively, of a first z-cut LiNbO₃ Mach-Zehnder modulator in accordance with the first form of the invention;

Figures 3 and 4 show the top view and the cross-section, respectively, of a second z-cut LiNbO₃ Mach-Zehnder modulator also in accordance with first form of the invention;

Figure 5 is a top view of a third z-cut LiNbO₃ Mach-Zehnder modulator in accordance with the second form of the invention; and

Figures 6 and 7 are graphs comparing the characteristics of one modulator in accordance with the invention with a generally similar conventional modulator.

In the structure of Figures 1 and 2, a lithium niobate chip 1 is formed in the usual way with a Mach Zehnder interferometer 2 having two branches 3 and 4. A buffer layer 5 (e.g. of silica) is used to achieve phase-velocity matching and to reduce the optical loss due to metal electrodes 6, 7, 8. The thickness of the silica layer is in the range of 0.5-1.5 μm , the thickness of the metal (preferably gold) electrodes is in the range 15-25 μm . Electrode 7 is a 'hot' electrode with a width in the range 5-15 μm ; 6 and 8 are 'ground' electrodes with widths in the range 10-1000 μm and each of the gaps between 'hot' and 'ground' electrodes is in the range 10-20 μm .

The active modulating zone of the device is the

length L, and at a distance a from its upstream end,
calculated by solving the equation above, domain inversion is
realised. In this way the modulator is made up of two
regions, the domain orientation of zone 9 being opposite that
5 of the remainder.

A number of procedures for obtaining domain inversion
are known; our preference is to use the application to the
zone to be inverted of an electric field in excess of the
coercive field of the material - about 21kV/mm for lithium
10 niobate - for which details can be found in a paper by Yamada
et al, Applied Physics Letters vol 62 page 435 (1993);
alternatives include

- diffusion of ions at a temperature close to the
Curie point of the material;
- 15 • proton exchange followed by exposure to temperature
just below the Curie point of the material and
- electron-beam treatment:

details of each of these are readily available in the
literature. The shorter electrode defines the effective
20 length of the modulator, and it is sufficient to invert as
far as its downstream end (and laterally to include both
waveguides; but a larger area could be inverted if found more
convenient. Inversion will normally need to be carried out
before the buffer layer and electrodes are applied, but it is
25 preferable to do so after the waveguides have been formed.

The modified design shown in Figures 3 and 4 is
substantially the same, except that there are two 'hot'
electrodes 10 and 11, driven by opposite sign voltages,
located over respective interferometer branches 3 and 4 and
30 spaced sufficiently apart from each other to avoid microwave
coupling (a distance in the range of 100-200 μm will usually
be sufficient).

Figure 5 shows a third preferred embodiment which
differs from structure of Figures 1 and 2 primarily in the
35 fact that, adopting the second form of the invention, a
uniformly poled (single-domain) z-cut lithium niobate

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structure is used together with stepped electrodes 16, 17, 18
(corresponding to 6, 7 and 8 respectively in Figure 1), so
that sign reversal of the electro-optic effect is obtained
through sign reversal of the microwave field in the
5 waveguides by reversal of their relationship to the "hot"
electrode 17 and the ground electrodes 16 and 18. It should
be noted that the effect is independent of the microwave
frequency.

An example of modulator according to Figures 1 and 2 is
10 based on a z-cut lithium niobate chip diffused with titanium
to form a Mach Zehnder interferometer with waveguides about
5 μm thick and 7 μm wide comprising parallel straight limbs
26 μm apart and about 70 mm long linked at each end by
inclined sections about 2.5 mm long to entry and exit
15 sections each comprising a Y formation and a short straight
waveguide. The active region (defined by the length of the
shortest electrode 8) is about 60 mm long of which an
area (9) about 14 mm long has its domain structure inverted
with respect to the remainder by application of an electric
20 field as described already.

The face of the chip is next coated with 1 μm of
amorphous silica by sputtering (or electron-beam evaporation
could be used). A flash layer comprising titanium and gold is
applied over the silica coating by Physical Vapor Deposition
25 technique and a further coating of gold, some tens of μm
thick, is grown by electroplating and patterned by
lithography to form the electrode structure shown in Figure 1.
The "hot" electrode 7, directly overlying one branch of the
interferometer, is about 8 μm wide and each of the gaps
30 between it and the respective ground electrodes 6, 8 are
about 18 μm wide.

The electro-optic response of this modulator and its
switching voltage, calculated as a function of microwave
frequency, are shown as the solid curves A in figures 6 and 7
35 respectively. For comparison, the graphs also show results
for two conventional modulators made with the same materials

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and cross-sectional dimensions (but with lithium niobate of uniform domain structure) whose lengths were chosen to obtain respectively the same switching voltage at the lower end of the bandwidth (curves B) and the same electro-optic response
5 at the upper limit of the bandwidth, that is the frequency at which the response is 3dB below its maximum (curves C). It will be apparent from the graphs that the modulator in accordance with the invention exhibits a usefully increased bandwidth for a constant switching voltage or a usefully
10 reduced switching voltage for a constant bandwidth, or more generally a better combination of the two characteristics than is achieved by conventional modulators.

*Any discussion of the background to the invention herein is included to explain the context of the invention. Where
15 any document or information is referred to as "known", it is admitted only that it was known to at least one member of the public somewhere prior to the date of this application. Unless the content of the reference otherwise clearly indicates, no admission is made that such knowledge was
20 available to the public or to experts in the art to which the invention relates in any particular country (whether a member-state of the PCT or not), nor that it was known or disclosed before the invention was made or prior to any claimed date. Further, no admission is made that any document
25 or information forms part of the common general knowledge of the art either on a world-wide basis or in any country and it is not believed that any of it does so.*

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CLAIMS

1 An electro-optical device capable of modulating the
amplitude or phase of an optical output in response to an
electrical data or control signal, or of switching it,
5 comprising a body of electro-optically active material,
waveguides for passing light through the body, and electrodes
for applying an electric field with a frequency in the
microwave region to the body, the transverse geometry of the
device being such as to maintain adequate phase velocity
10 matching between optical and microwave frequencies, is
characterised by a discontinuity in either the body or at
least one of the electrodes such that the direction of the
electro-optic effect is reversed for a portion of the length
of the device at or near its downstream end.

15 2 A device as claimed in claim 1 in which the
discontinuity is determined by solving the equation

$$\frac{1}{2}\sqrt{2(2a-L)} = (1/d)(1 - 2e^{-da} + e^{-dL})$$

where L is the total optical length of the device in m; and d
is the microwave loss at the upper limit of the intended
20 microwave bandwidth of the device expressed in m^{-1} .

3 A device as claimed in claim 1 or claim 2 in which the
electro-optic material is uniform apart from a single
discontinuity as described at which its crystal domain
structure or poling is inverted.

25 4 A device as claimed in claim 1 or claim 2 in which the
electro-optic material is entirely uniform and the
discontinuity is imposed solely by a discontinuity in the
design of the electrodes.

5 A device as claimed in any one of claims 1-3 in which
30 the electro-optically active material is selected from x-cut
and z-cut lithium niobate, semiconductors, poled polymers and
poled glass.

6 A modulator in accordance with any one of claims 1-5.

7 An optical switch in accordance with any one of
35 claims 1-6.

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ABSTRACT

(106)

Electro-optic Devices, including Modulators and Switches

An electro-optical device capable of modulating the amplitude or phase of an optical output in response to an electrical data or control signal, or of switching it, has reduced frequency-dependence and a better combination of operating voltage and bandwidth. It comprises a body of electro-optically active material, waveguides for passing light through the body, and electrodes for applying an electric field with a frequency in the microwave region to the body, and its transverse geometry is such as to maintain adequate phase velocity matching between optical and microwave frequencies. There is a discontinuity in either the body or at least one of the electrodes such that the direction of the electro-optic effect is reversed for a portion of the length of the device at or near its downstream end.

The result of such a discontinuity (in combination with phase velocity matching) is that the device operates in three successive zones: in the upstream zone, desirable phase change is induced for all frequencies in the bandwidth of the device; in the middle zone, desirable phase change is induced for frequencies in the upper part of the bandwidth, but phase change in the lower frequencies becomes excessive; while in the downstream zone, there is no significant phase change in the higher frequencies but the excess change at lower frequencies is reversed.

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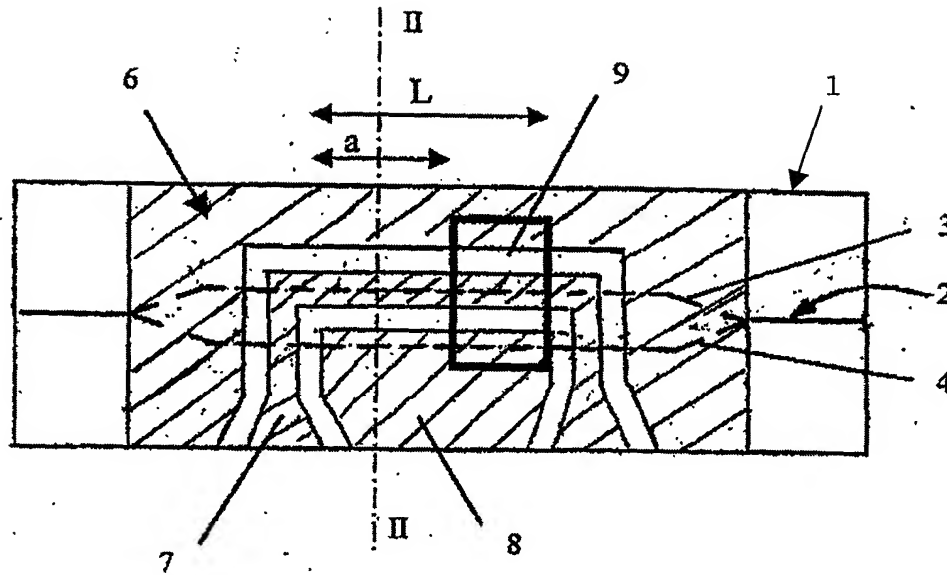


Fig. 1

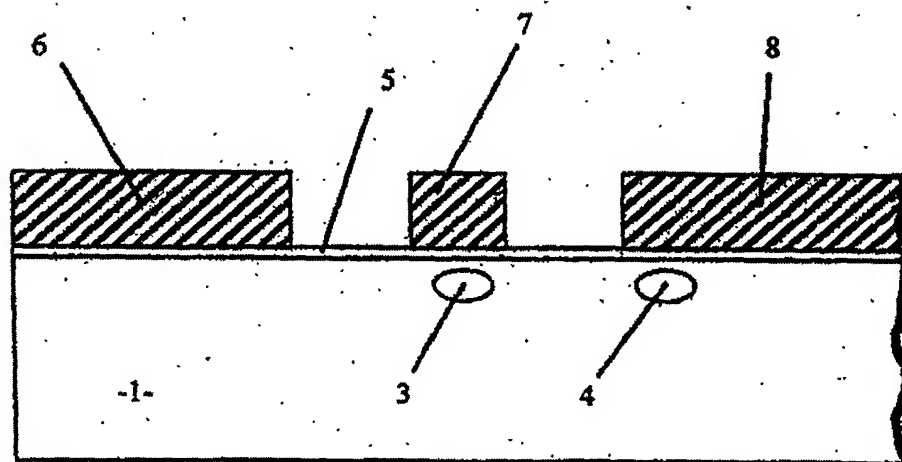


Fig. 2

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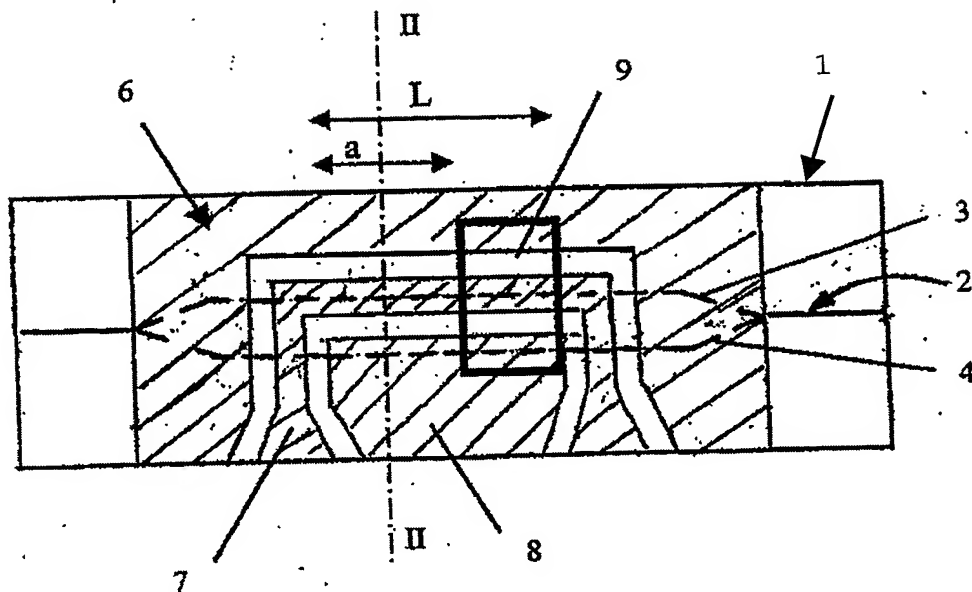


Fig. 1

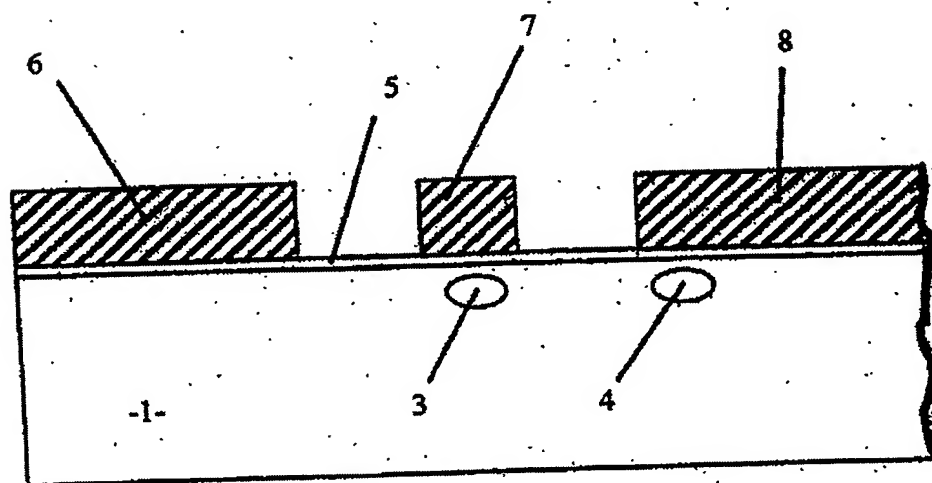


Fig. 2

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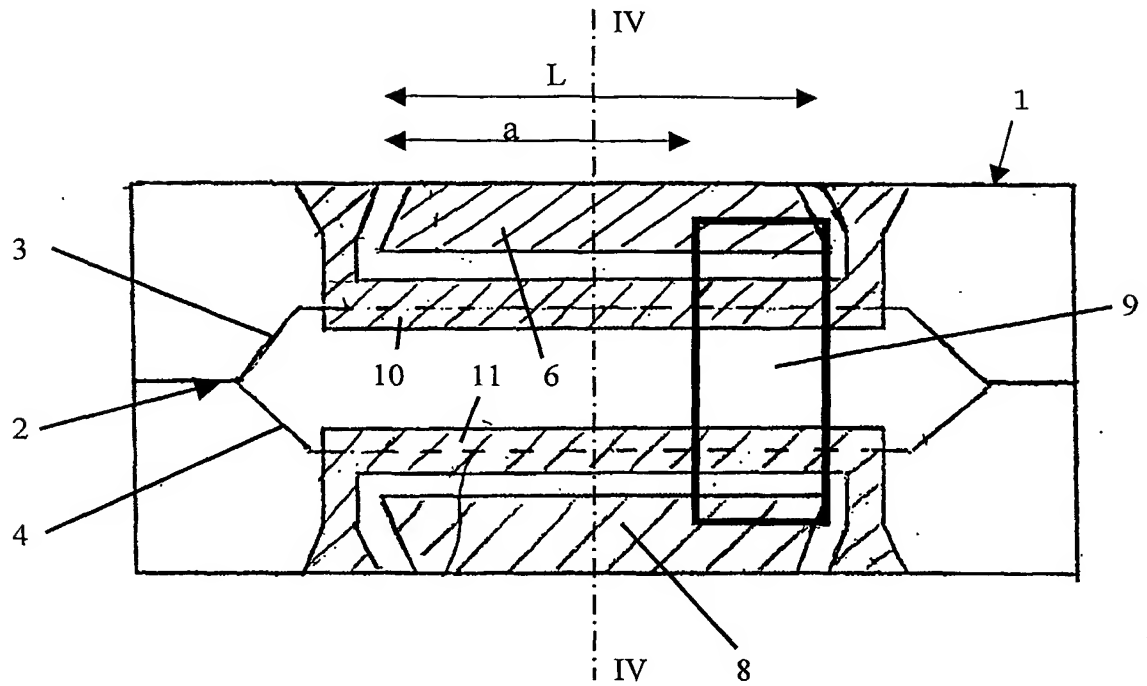


Fig. 3

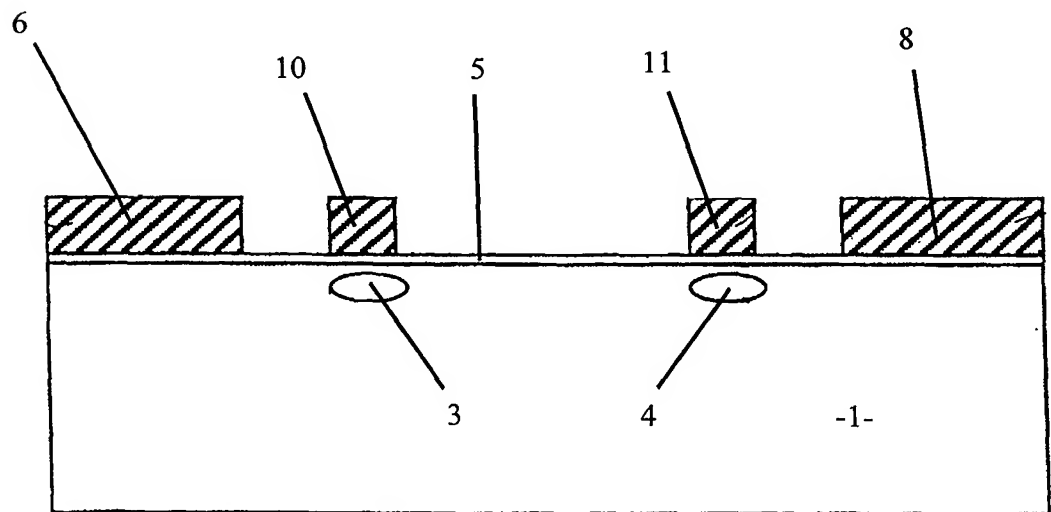


Fig. 4

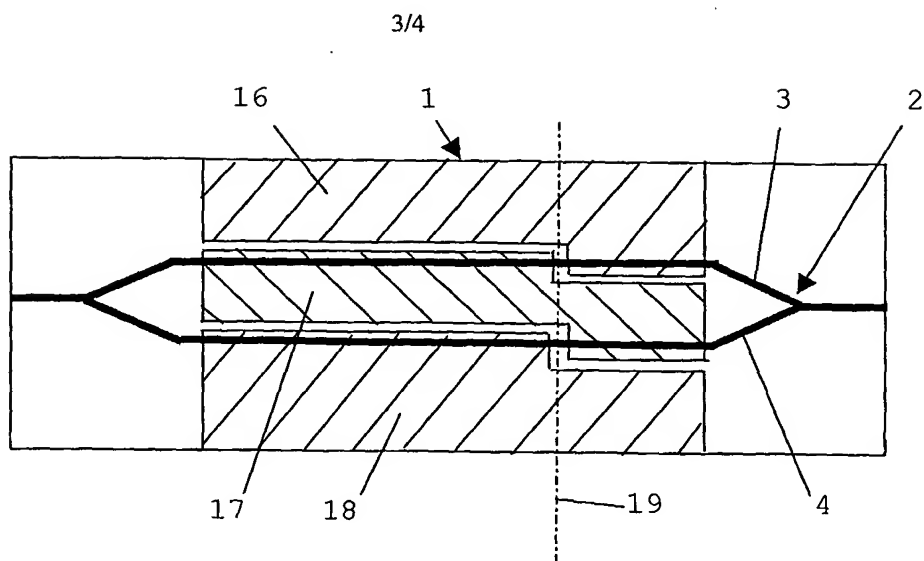


Fig. 5

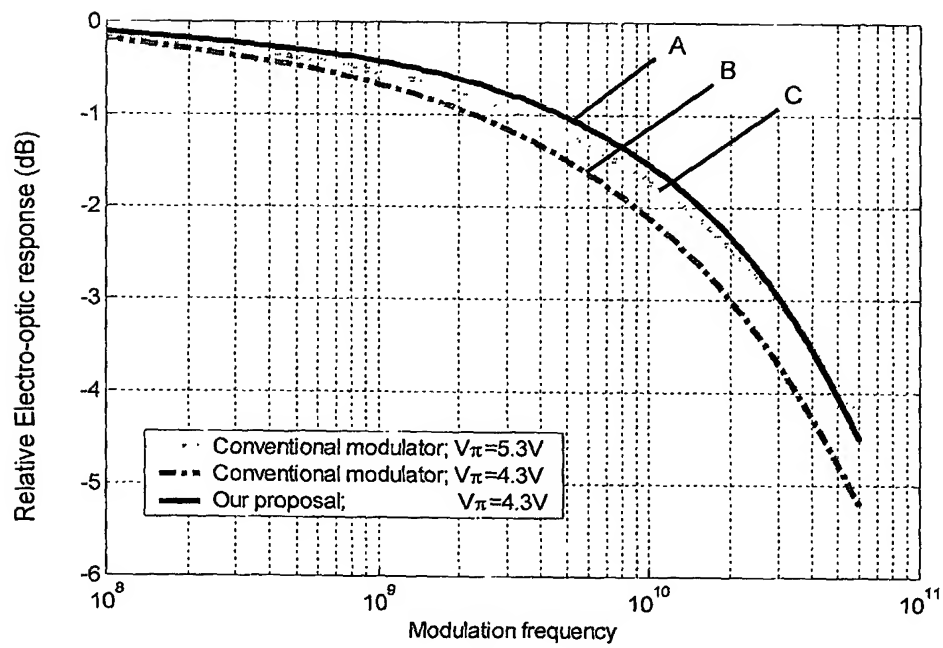


Fig. 6

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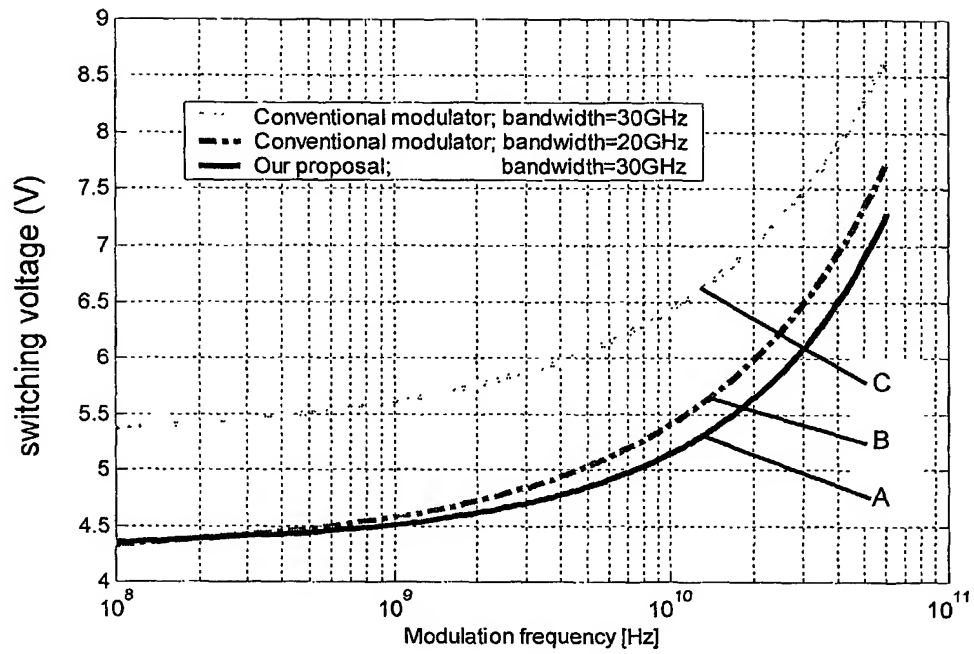


Fig. 7

